

STATE OF TENNESSEE
SOCIAL SERVICES BLOCK GRANT PROGRAM (SSBG)

FY 2013



BILL HASLAM
Governor

DEPARTMENT OF HUMAN SERVICES
Designated State Agency

RAQUEL HATTER
Commissioner

For more information concerning the Social Services Block Grant Program (SSBG)
Program Plan please contact:

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Department of Human Services
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Nashville, Tennessee 37243-1403
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Shalonda.Cawthon@tn.gov

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**Tennessee
Social Services Block Grant
FY 2013 Pre-Expenditure Report**

I. State/Federal Fiscal Year Covered by the Pre-expenditure Report

This report covers the federal fiscal year from October 1, 2012 through September 30, 2013.

II. The Narrative Pre-expenditure Report

Provide the following information, as outlined below:

A. Administrative Operations

1. State Administrative Agency

(a) Outline the mission and responsibility of the agency designated to administer the State's Social Services Block Grant (SSBG) program.

The Tennessee Department of Human Services (DHS) is the designated state agency to administer the Social Services Block Grant (SSBG) program. The mission of the DHS is to improve the well-being of economically disadvantaged, disabled or vulnerable Tennesseans through a network of financial, employment, rehabilitative and protective services. The priority responsibility of the lead agency will be to ensure that SSBG funds are expended in a manner to support the goals of the program.

(b) Outline the goals and objectives of the agency that administers the State's Social Services Block Grant (SSBG) program.

The Department of Human Services' major goals are:

- To provide a quality system of coordinated human services to meet the changing needs of individuals, children and families in Tennessee.
- To remain committed to being customer-oriented, promote self-sufficiency, improve the quality of services, and build effective partnerships through a wide range of services in all ninety-five (95) counties of the State.
- To prevent and reduce harm to vulnerable customers.
- To enable those in need to achieve self-sufficiency and improve their quality of life including helping them to achieve their highest economic potential.

Please see Appendix A for organizational charts.

2. State Offices/Departments

(a) Identify the State entities allocated SSBG funds.

SSBG funds are allocated within two state agencies, DHS and the Tennessee Department of Children's Services (DCS). Within DHS, there are sixteen (16) sub-grantees providing services. Please see Appendix B for a list of these sub-grantees and the services provided by each.

(b) Provide a brief description of the services supported by each of the State entities.

The Department of Human Services provides a variety of services to low-income individuals and families such as TANF (in Tennessee called Families First) food stamps (now called Supplemental Nutrition Assistance Program), child support, adult protective services for elderly individuals, adult and child care services, child and adult care food programs, and emergency services including assistance with energy costs, rent, and home weatherization activities. As Tennessee's public child welfare agency, the Department of Children's Services (DCS) is responsible for investigating cases of child abuse and neglect and works to find foster homes and adoptive families. DCS' juvenile justice program works with youthful offenders.

B. Fiscal Operations

1. Description of Criteria for Distribution - Describe the State's criteria for allocation of SSBG funds to State entities.

Allocation of SSBG funds between the Department of Human Services (DHS) and the Department of Children's Services (DCS) follows an established agreement between the two state agencies. The Allocations to DHS' sub-grantees is based on the poverty percentages in each of the state's ninety-five (95) counties.

2. Distribution and Use of Funds - Describe the planning process for determining the State's use and distribution of SSBG funds.

During the State's budgeting process, decisions are made on the use and distribution of SSBG funds to maximize the benefits for citizens of the State.

3. Description of Financial Operations System

(a) Describe the State's process of assigning costs (e.g. cost allocation plan).

DCS and DHS have cost allocation plans that are approved by the U.S. Department of Health and Human Services.

(b) Describe the State's method of calculating costs [e.g. Random Moment in Time (RMT)]

Average filled positions, contract expenditures, square footage, random moment sample are some of the methodologies approved in our cost allocation plan that are used to allocate certain costs.

C. Program Operations

1. SSBG Statutory Goals the State Plans to Achieve

Describe how services funded by the SSBG will be directed at one or more of the five broad statutory goals.

Social Service Block Grant (SSBG) funds are used by the State to provide a broad array of social services as determined by the State to best meet the needs of the citizens of Tennessee. The services provided by the Social Services Block Grant program have been identified by the Department of Human Services and the Department of Children's Services as critically needed by the citizens of the State and are directed toward helping clients achieve one or more of the five national program goals within the federally –designated 29 categories of services. Please see Appendix C for a list of the activities to be supported with SSBG funds and the related national goal(s) for each activity.

2. Characteristics of Individuals to be Served

(a) Definitions of child, adult and family

A child means a dependent not exceeding 17 years.

An adult means a person 18 years of age and over. An elderly adult means a person 60 years of age and older.

A family means all persons living together in a dwelling unit.

(b) Eligibility Criteria

Services are provided to adults and children who meet the income guidelines established each year for the program and which vary by program components and include the use of the federal poverty guidelines, state's medium income, and in the case of adult protective clients, are served without regard to income.

(c) Income Guidelines

Eligibility is based on the 125% of the federal poverty guidelines as updated annually or the annually updated state's medium income. See below:

SSBG Income Guidelines for FY 2013

Family Size	125% FPG	
	YEAR	MONTH
1	\$13,963	\$1,164
2	\$18,913	\$1,576
3	\$23,863	\$1,989
4	\$28,813	\$2,402
5	\$33,763	\$2,814
6	\$38,713	\$3,226
7	\$43,663	\$3,639
8	\$48,613	\$4,051
*	\$4,950	\$413

*For family units over 8, add the amount shown for each additional member.

3. Types of Activities to be Supported

(a) Describe the services and activities to be provided using SSBG funds.

SSBG services and activities planned for FY 2013 include a variety of services for children and adults to maintain self-sufficiency and reduce dependency on assistance programs; and to prevent and reduce incidents of abuse and neglect of children and vulnerable adults.

(b) Organize services by Uniform Definition of Services and the corresponding State service title.

Please see Appendix C for a list of the components for services to be provided.

(c) Provide method of delivery and geographic area/location where services will be provided.

Services are provided through a variety of mechanisms designed to best meet the needs of the target population. The majority of the services are provided in all of the state's ninety-five (95) counties.

III. Pre-expenditure Reporting Form

IV. Certifications

Please see Appendix E for required certifications signed by the Department's Commissioner.

V. Public Hearing

The Public Hearing on the FY 2013 Federal Application was held on _____2012. The public hearing was followed by a 7-day written comment period.

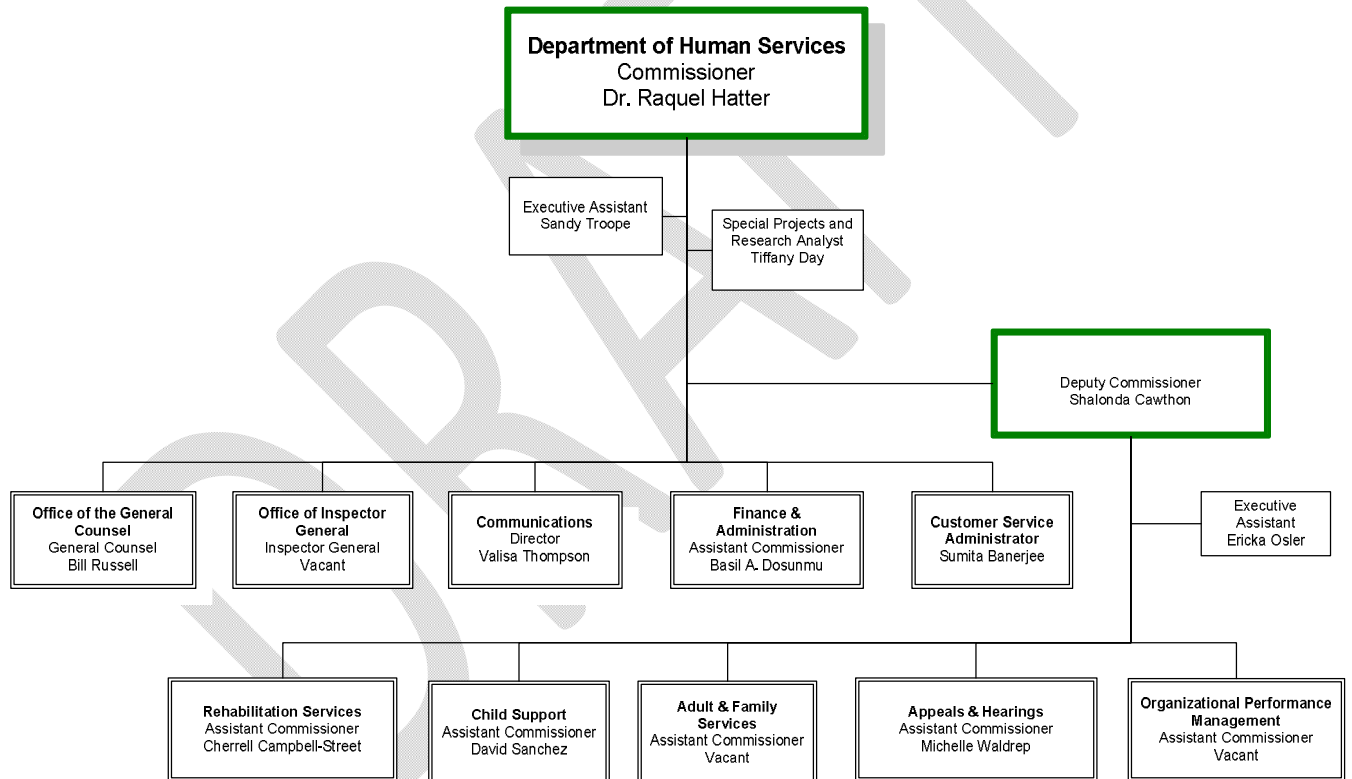
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APPENDICIES

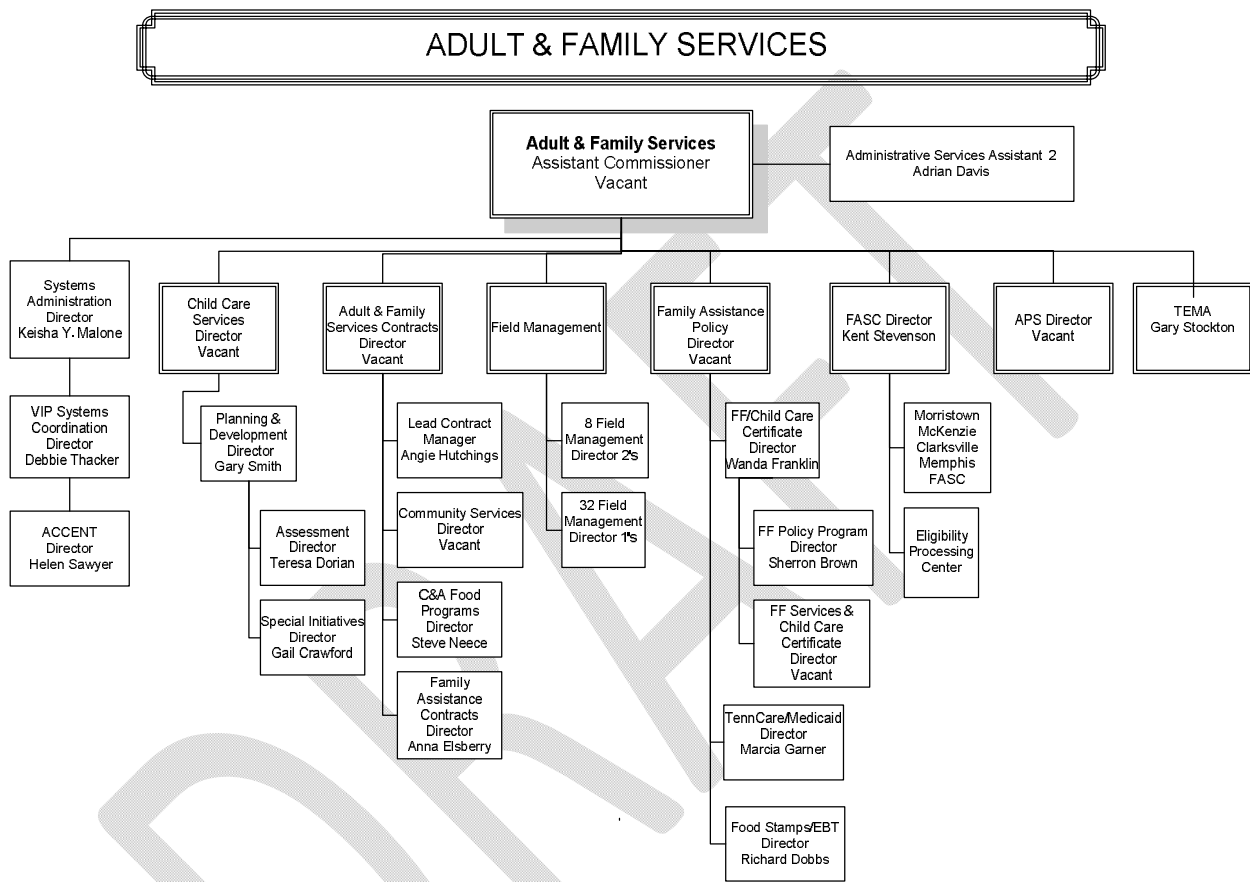
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Appendix A

EXECUTIVE



Date: 07/17/2012



Date: 07/19/2012

Appendix B

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Tennessee Social Services Block Grant (SSBG) Agencies

East Tennessee Human Resource Agency

Gary Holiway, Executive Director
9111 Cross Park Drive, Suite D100
Knoxville, TN 37923
(865) 691-2551
(865) 531-7216 fax

Serving: Anderson, Blount, Campbell, Claiborne, Cocke, Grainger, Hamblen, Jefferson, Loudon, Knox, Monroe, Morgan, Roane, Scott, Sevier, & Union Counties

Fifty Forward Incorporated

Janet Jernigan, Executive Director
174 Rains Avenue
Nashville, TN 37203
(615) 743-3404

Serving: Davidson County

First Tennessee Human Resource Agency

Dale Fair, Executive Director
2203 McKinley Road, Suite 210
Johnson City, TN 37604
(423) 461-8209
(423) 483-2255 fax

Serving: Carter, Greene, Hancock, Hawkins, Johnson, Sullivan, Unicoi and Washington Counties

Goodwill Homes, Inc

Susan Mills, Executive Director
4590 Goodwill Road
P. O. Box 161282
Memphis, TN 38186-1282
901-785-6790
901-789-8351 fax

Serving: Shelby County

Hamilton County Government

Jim Coppinger, County Mayor
208 County Courthouse
Chattanooga, TN 37402
(423) 209-6833
(423) 209-6834 fax

Serving: Hamilton County

Helpcare Homemaker Services

Mary McClain, Executive Director
2400 Poplar Avenue, Suite 212
Memphis, TN 38112-3209
(901) 323-4747
(901) 725-4742 fax

Serving: Shelby County

Knoxville-Knox CAC

Barbara Kelly, Executive Director
P. O. Box 51650
2247 Western Avenue
Knoxville, TN 37950-1650
(865) 637-6700
(865) 637-2953 fax

Serving: Knox County

Meritan, Inc.

Deborah Cotney, Executive Director
4700 Poplar Avenue
Memphis, TN 38117
(901) 766-0600
(901) 766-0699 fax

Serving: Shelby County

Metropolitan Hospital Authority

Jason E. Boyd, Executive Director
1414 County Hospital Road
Nashville, TN 37218
(615) 341-4491
(615) 862-7007
(615) 862-6960 fax

Serving: Davidson County

Metropolitan Social Services

Renee Pratt, Executive Director
25 Middleton Street
Nashville, TN 37210
(615) 862-6480
(615) 862-6404 fax

Serving: Davidson County

Mid-Cumberland Human Resource Agency

Jane Hamrick, Executive Director,
Office Oaks Tower

1101 Kermit Drive, Suite 300
Nashville, TN 37217
(615) 850-3912 (615) 834-8906 fax

Serving: Cheatham, Dickson, Houston, Humphreys, Montgomery, Robertson, Rutherford, Steward, Sumner, Trousdale, Williamson & Wilson Counties

Northwest Tennessee Human Resource Agency

John Bucy, Executive Director
124 Weldon Drive
P. O. Box 963
Martin, TN 38237
(731) 587-4213
(731) 587-4587 fax

Serving: Benton, Carroll, Crockett, Dyer, Gibson, Henry, Lake, Obion & Weakley Counties

Partnership for Families, Children & Adults, Inc.

Sandra Hollett, Executive Director
1800 McCallie Avenue
Chattanooga, TN 37404
(423) 755-2808
(423) 697-3812 fax

Serving: Bledsoe, Bradley, Grundy, Hamilton, Marion, McMinn, Meigs, Polk, Rhea, and Sequatchie Counties

South Central Human Resource Agency

James Coy Anderson, Executive Director
P.O. Box 638
1437 Winchester Highway
Fayetteville, TN 37334
(931) 433-7182
(931) 438-0074 fax

Serving: Bedford, Coffee, Franklin, Giles, Hickman, Lawrence, Lewis, Lincoln, Marshall, Maury, Moore, Perry & Wayne Counties

Tennessee Opportunity Programs

Gaila Fletcher, Executive Director
P. O. Box 925
Smyrna, TN 37167
(615) 459-3600

(615) 459-9326 fax

Serving: Chester, Decatur, Fayette, Hardeman

Hardin, Haywood, Henderson, Lauderdale, Madison, McNairy, Tipton Counties

Upper Cumberland Human Resource Agency

Phyllis Bennett, Executive Director

580 South Jefferson Avenue, Suite B

Cookeville, TN 38506

(931) 528-1127

(931) 526-8305 fax

**Serving: Cannon, Clay, Cumberland, DeKalb, Fentress, Jackson, Macon, Overton, Pickett,
Putnam, Smith, Van Buren, Warren & White Counties**

Appendix C

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1. Adoption Services

Adoption services are those services or activities provided to assist in bringing about the adoption of a child. Component services and activities may include, but are not limited to, counseling the biological parent(s), recruitment of adoptive homes, and pre- and post-placement training and/or counseling.

Overall National Program Goals: 2, 3

State Definition: Adoption services are those services or activities provided to assist in bringing about the adoption of a child.

Components include but are not limited to:

- 1) study and evaluation of the child's needs;
- 2) counseling with the child's birth parents;
- 3) counseling with the child in preparation for adoptive placement;
- 4) recruitment, and preparation of adoptive homes;
- 5) pre-placement, and supervision of placement including counseling with the child and adoptive parents;
- 6) counseling and court-related services in independent placements as may be required by statute;
- 7) provision of necessary legal safeguards for the birth family, child and adoptive parent;
- 8) transportation to secure other needed services;
- 9) post-adoption services upon written request of the adult adoptee for medical and non-identifying information and/or search for birth relatives; and
- 10) financial subsidy for certain children and their adoptive parents based on the child's need for emotional, mental and physical diagnostic and treatment services; and room and board.

Overall National Program Goals: 2, 3, 4

State Definition: Services to ensure continuity of responsibility for the care, protection, and permanency and case planning for children and adults who may be placed across state or national boundaries in order to achieve secure and stable homes. This involves agreements between various agencies to comply with

existing child/adult placement laws and cooperation with other private and public agencies and courts.

Components include but are not limited to:

- 1) comprehensive referrals;
- 2) home studies and supervisory reports;
- 3) some services to runaway children;
- 4) transportation; and
- 5) counseling.

2. Case Management Services

Case management services are services or activities for the arrangement, coordination, and monitoring of services to meet the needs of individuals and families. Component services and activities may include individual service plan development; counseling; monitoring, developing, securing, and coordinating services; monitoring and evaluating client progress; and assuring that client rights are protected.

Overall National Program Goal: 2, 3

State Definition: School based prevention/early intervention services aimed at assisting families through information and training and helping families learn to resolve problems through the collaborative efforts of many disciplines within the community (educational, medical, psychological, business, and social services).

Components include but are not limited to:

- 1) home visitation and counseling for families;
- 2) child care to facilitate program participation;
- 3) conflict resolution/peer mediation training;
- 4) clothing bank;
- 5) literacy programs/GED preparation;
- 6) child development training;
- 7) job readiness/training; and
- 8) parenting skills for all ages.

3. Congregate Meals

Congregate meals are those services or activities designed to prepare and serve one or more meals a day to individuals in central dining areas in order to prevent institutionalization, malnutrition, and feelings of isolation. Component services or activities may include the cost of personnel, equipment, and food; assessment of nutritional and dietary needs; nutritional education and counseling; socialization; and other services such as transportation and information and referral.

This service may be provided if it is determined that the need arises during the fiscal year.

4. Counseling Services

Counseling services are those services or activities that apply therapeutic processes to personal, family, situational, or occupational problems in order to bring about a positive resolution of the problem or improved individual or family functioning or circumstances. Problem areas may include family and marital relationships, parent-child problems, or drug abuse.

Overall National Program Goals: 3, 4

State Definition: These therapeutic services are both home and center based services that are provided by licensed clinical staff or by non-licensed master or bachelor level staff under the direct supervision of licensed clinical staff. These staff work with children, youth, and families in need of this service based on an assessment of the Family Support Services worker. These services cannot be purchased if TennCare or insurance is available to pay for services. Behavioral health services that are deemed medically necessary cannot be purchased.

Components include but are not limited to:

- 1) Ongoing psycho-social counseling for victims of child physical or sexual abuse, and their families;
- 2) Psycho-social counseling for perpetrators of child physical or sexual abuse when the perpetrator is a family member or youth under 18 who is not in state placement;
- 3) Services for children/youth and their families who are experiencing family dysfunction so severe that ongoing psycho-social counseling is necessary to maintain the family intact;
- 4) Psycho-social counseling for children/youth and their families who have a diagnosed DSM-IV mental illness that left untreated is putting the child at risk for abuse or neglect and/or state placement;

- 5) Provides age appropriate parenting skills training and child development information;
- 6) May include generic services (individual, group and family counseling) and highly focused services (social skills training, substance abuse refusal skills training, adventure-based counseling, cognitive therapy, medication monitoring, etc.); and
- 7) Home based services that coordinate with the center based counseling by teaching parents to apply skills they have learned during counseling in their home setting.

Overall National Program Goals: 2, 3, 4

State Definition: Provide intervention and services to facilitate the reunification of children in custody with their families.

Components include but are not limited to:

- 1) individual, group and family counseling and non-medical treatment services to child and /or family members;
- 2) counseling in regard to parenting responsibilities;
- 3) parent training;
- 4) counseling for problems and issues regarding alcohol and drug dependency for the child and/or family members;
- 5) advocacy services for the family;
- 6) transportation as necessary in order to access services; and
- 7) services to support “reasonable efforts” as indicated in a child’s permanency plan.

5. Day Care Services--Adults

Day care services for adults are those services or activities provided to adults who require care and supervision in a protective setting for a portion of a 24-hour day. Component services or activities may include opportunity for social interaction, companionship and self- education; health support or assistance in obtaining health services; counseling; recreation and general leisure time activities; meals; personal care services; plan development; and transportation.

Overall National Program Goals: 1, 2, 3, 4, 5

State Definition: A structured program of personal care and training offered for less than 24 hours a day in an approved community-based facility. These services, preventive and/or protective in nature, shall be provided for adults who are not capable of full independent living as a result of physical disability,

developmental disability, emotional impairment, and/or frailty resulting from advanced age.

Components include:

- 1) work activities;
- 2) nutritional services;
- 3) life enrichment activities;
- 4) continuing education;
- 5) counseling for the client and/or family;
- 6) speech and hearing therapy;
- 7) health monitoring;
- 8) transportation to and from the program; and
- 9) physical and psychological examination if needed for entry and continuance in the program.

6. Day Care Services--Children

Day care services for children (including infants, pre-schoolers, and school age children) are services or activities provided in a setting that meets applicable standards of state and local law, in a center or in a home, for a portion of a 24-hour day. Component services or activities may include a comprehensive and coordinated set of appropriate developmental activities for children, recreation, meals and snacks, transportation, health support services, social service counseling for parents, plan development, and licensing and monitoring of child care homes and facilities.

Overall National Program Goal: 1, 2, 3, 4

State Definition: The care, education, supervision, and guidance of a child on a regular basis for periods of less than 24 hours per day.

Funding Sources: SSBG, CCDF, Title IV-A, FSA, Other Federal, State

Method of Service Delivery: Contract

DHS contracts with public and non-profit agencies to assist parents/caretakers and Social Services counselors in selecting appropriate child care and to arrange for payment. Agencies determine eligibility for some SSBG eligible caretakers.

Overall National Program Goals: 1, 2, 3, 4

State Definition: Sitter Services provide safe and appropriate supervision of a child while the parents are unable to provide care due to employment, going to

school or other activities. These services are provided to prevent harm to the child or commitment to state custody only when no other child care resource is available.

Components of Service include but are not limited to:

- 1) available to prevent removal of the child from the home;
- 2) providers may include licensed day care homes; and
- 3) services may not exceed 3 months of service.

7. Education and Training Services

Education and training services are those services provided to improve knowledge or daily living skills and to enhance cultural opportunities. Services may include instruction or training in, but are not limited to, such issues as consumer education, health education, community protection and safety education, literacy education, English as a second language, and General Educational Development (G.E.D.). Component services or activities may include screening, assessment and testing; individual or group instruction; tutoring; provision of books, supplies and instructional material; counseling; transportation; and referral to community resources.

Overall National Program Goal: 1, 2, 3, 4

State Definition: Tutoring may be authorized in cases where the child is in need of professional assistance to help alleviate or eliminate academic deficits. Tutoring should generally be authorized on a short-term basis and should not supplant or alleviate the requirements of local public school systems to address the academic needs of their students.

8. Employment Services

Employment services are those services or activities provided to assist individuals in securing employment or acquiring or learning skills that promote opportunities for employment. Component services or activities may include employment screening, assessment, or testing; structured job skills and job seeking skills; specialized therapy (occupational, speech, physical); special training and tutoring, including literacy training and pre-vocational training; provision of books, supplies and instructional material; counseling, transportation; and referral to community resources.

This service may be provided if it is determined that the need arises during the fiscal year.

9. Family Planning Services

Family planning services are those educational, comprehensive medical or social services or activities which enable individuals, including minors, to determine freely the number and spacing of their children and to select the means by which this may be achieved. These services and activities include a broad range of acceptable and effective methods and services to limit or enhance fertility, including contraceptive methods (including natural family planning and abstinence), and the management of infertility (including referral to adoption). Specific component services and activities may include pre-conceptual counseling, education, and general reproductive health care, including diagnosis and treatment of infections which threaten reproductive capability. Family planning services do not include pregnancy care (including obstetric or prenatal care).

This service may be provided if it is determined that the need arises during the fiscal year.

10. Foster Care Services for Adults

Foster care services for adults are those services or activities that assess the need and arrange for the substitute care and alternate living situation of adults in a setting suitable to the individual's needs. Individuals may need such services because of social, physical or mental disabilities, or as a consequence of abuse or neglect. Care may be provided in a community-based setting, or such services may arrange for institutionalization when necessary. Component services or activities include assessment of the individual's needs; case planning and case management to assure that the individual receives proper care in the placement; counseling to help with personal problems and adjusting to new situations; assistance in obtaining other necessary supportive services; determining, through periodic reviews, the continued appropriateness of and need for placement; and recruitment and licensing of foster care homes and facilities.

Overall National Program Goals: 1, 2, 3, 4

State Definition: Twenty-four hour care in foster family homes may be provided for adult protective service clients. The objective of the care is to provide a family living arrangement for aged or disabled adults who do not require institutional or nursing care, whose own families are unable to care for them, and who are unable to live independently.

Components include:

- 1) recruitment, study, and approval of family homes;
- 2) placement and supervision of placement activities including counseling with the resident and sponsors;
- 3) referral and case management services which may be necessary for the development and implementation of a service plan; and
- 4) transportation as needed to assist in securing other needed services.

11. Foster Care Services for Children

Foster care services for children are those services or activities associated with the provision of an alternative family life experience for abused, neglected or dependent children, between birth and the age of majority, on the basis of a court commitment or a voluntary placement agreement signed by the parent or guardian. Services may be provided to children in foster family homes, foster homes of relatives, group homes, emergency shelters, residential facilities, child care institutions, pre-adoptive homes or supervised independent living situation. Component services or activities may include assessment of the child's needs; case planning and case management to assure that the child receives proper care in the placement; medical care as an integral but subordinate part of the service; counseling of the child, the child's parents, and the foster parents; referral and assistance in obtaining other necessary supportive services; periodical reviews to determine the continued appropriateness and need for placement; and recruitment and licensing of foster homes and child care institutions.

Overall National Program Goals: 1, 2, 3, 4

Sate Definition: Twenty-four hour care for children in a private home or licensed group care facility for a temporary period because the normal family environment is either non-existent or greatly hampered because of social, emotional, or economic problems. The service intent is to reunite children and their families as quickly as possible or, when necessary, develop alternate permanent families for the children.

Components include but are not limited to:

- 1) recruitment and study of foster homes;
- 2) placement and supervision of children in the foster care settings most like or near their own communities;
- 3) periodic review procedures designed to ensure the appropriateness and continuing supervision of the placement activities and permanency planning;
- 4) referral and case management services for the child and their families necessary for the service plan; and transportation for visitation and to secure other needed services.

Overall Program Goals: 2, 3

State Definition: This program targets abused or neglected children who cannot live with their parents but have relatives who are able and capable of providing care for the children with some financial and social support.

Components of Service include but are not limited to:

- 1) individual and family counseling;
- 2) respite care for children;
- 3) legal services;
- 4) financial aid;
- 5) recreation;
- 6) homemaker services;
- 7) transportation;
- 8) advocacy;
- 9) support groups;
- 10) training;
- 11) mediation;
- 12) family conferencing;
- 13) case management;
- 14) mentoring;
- 15) child care; and
- 16) children's therapeutic activity groups.

12. Health Related and Home Health Services

Health related and home health services are those in-home or out-of-home services or activities designed to assist individuals and families to attain and maintain a favorable condition of health. Component services and activities may include providing an analysis or assessment of an individual's health problems and the development of a treatment plan; assisting individuals to identify and understand their health needs; assisting individuals to locate, provide or secure, and utilize appropriate medical treatment, preventive medical care, and health maintenance services, including in-home health services and emergency medical services; and providing follow-up services as needed.

Overall National Program Goals: 1, 4

State Definition: In-home or out-of-home services or activities designed to assist individuals and families to attain and maintain a favorable condition of health. Component services and activities may include providing an analysis or assessment of an individual's health and the development of a treatment plan; the purchase of prescribed medication for adults or children pending TennCare approval; assisting individuals to identify and understand their health needs; assisting individuals to locate, provide or secure, utilize, and receive appropriate medical treatment, preventive medical care, and health maintenance services, including in-home health services and emergency medical services if needed; and providing follow-up services as needed.

13. Home Based Services

Home based services are those in-home services or activities provided to individuals or families to assist with household or personal care activities that improve or maintain adequate family well-being. These services may be provided for reasons of illness, incapacity, frailty, absence of a caretaker relative, or to prevent abuse and neglect of a child or adult. Major service components include homemaker services, chore services, home maintenance services, and household management services. Component services or activities may include protective supervision of adults and/or children to help prevent abuse, temporary non-medical personal care, house-cleaning, essential shopping, simple household repairs, yard maintenance, teaching of homemaking skills, training in self-help and self-care skills, assistance with meal planning and preparation, sanitation, budgeting, and general household management.

Overall National Program Goals: 2, 3, 4

State Definition: Supportive services provided by qualified paraprofessionals employed as homemakers, who are supervised by professional staff. These services are provided to the adult population.

Components include but are not limited to:

- 1) providing protective supervision of adults;
- 2) teaching of homemaker skills;
- 3) teaching or assisting with household management to include becoming a responsible consumer and how to budget wisely;
- 4) assisting in the acquisition of medical and other community resources;
- 1) providing transportation as needed and teaching clients to use public transportation;
- 2) teaching or assisting with essential shopping;
- 3) teaching or assisting with household tasks;
- 4) teaching or assisting with personal care;
- 5) providing temporary care to help the adult to return to or remain in his/her own home; and
- 6) providing case management services.

Overall Program Goals: 2, 3, 4

Definition: Supportive services that involve a series of personal contacts in the home by qualified para-professionals employed as homemakers. Homemakers act under the supervision and guidance of professional staff.

Components of Service include but are not limited to:

- 1) teaching of homemaker skills; including the preparation of nutritious, appetizing meals;
- 2) teaching household management skills;
- 3) teaching parents to be responsible consumers and to budget money wisely;
- 4) teaching parenting skills/appropriate discipline techniques;
- 5) teaching personal skills (good grooming, healthy living habits, appropriate dress);
- 6) assisting in use and acquisition of medical and other community resources
- 7) providing transportation as needed; teaches family members to use public transportation as appropriate;
- 8) providing encouragement and seeks to stimulate self-help attitudes and behavior; and
- 9) case management by professional staff as needed.

14. Home Delivered Meals

Home-delivered meals are those services or activities designed to prepare and deliver one or more meals a day to an individual's residence in order to prevent institutionalization, malnutrition, and feelings of isolation. Component services or activities may include the cost of personnel, equipment, and food; assessment of nutritional and dietary needs; nutritional education and counseling; socialization services; and information and referral.

This service may be provided if it is determined that the need arises during the fiscal year.

15. Housing Services

Housing services are those services or activities designed to assist individuals or families in locating, obtaining, or retaining suitable housing. Component services or activities may include tenant counseling; helping individuals and families to identify and correct substandard housing conditions on behalf of individuals and families who are unable to protect their own interests; and assisting individuals and families to understand leases, secure utilities, make moving arrangements and minor renovations.

Overall Program Goals: 1, 2, 3, 4

State Definition: In some cases, home repairs may be essential to ensure that unsafe conditions in the adult's or child's immediate living environment are removed or eliminated. Examples would include repairing broken windows, repairing a heating or plumbing system, purchasing pest control services, or repairing items such as stoves or refrigerators. The actual purchase of furniture, appliances, or equipment is allowable if absolutely necessary to prevent the removal of the adult or child from the home, or enable the child to return home from placement. Home repairs should be authorized on cases where the defective condition places the adult or child at substantial risk of harm or neglect. Auto repairs should be limited to basic repairs to maintain necessary transportation for safety and health reasons.

16. Independent and Transitional Living Services

Independent and transitional living services are those services and activities designed to help older youth in foster care or homeless youth make the transition to independent living, or to help adults make the transition from an institution, or from homelessness, to independent living. Component services or activities may include educational and employment assistance, training in daily living skills, and housing assistance. Specific component services and activities may include supervised practice living and post-foster care services.

This service may be provided if it is determined that the need arises during the fiscal year.

17. Information and Referral

Information and referral services are those services or activities designed to provide information about services provided by public and private service providers and a brief assessment of client needs (but not diagnosis and evaluation) to facilitate appropriate referral to these community resources.

This service may be provided if it is determined that the need arises during the fiscal year.

18. Legal Services

Legal services are those services or activities provided by a lawyer or other person(s) under the supervision of a lawyer to assist individuals in seeking or obtaining legal help in civil matters such as housing, divorce, child support, guardianship, paternity, and legal separation. Component services or activities may include receiving and preparing cases for trial, provision of legal advice, representation at hearings, and counseling.

Overall National Program Goals: 2, 3, 4

State Definition: Diversion services consist of an array of activities that provide alternatives for out of home care and state custody for families and children at imminent risk of entering state care.

Components include, but are not limited to:

- 1) day treatment of juvenile academy interventions;
- 2) aftercare services;
- 3) crisis intervention;
- 4) respite services;
- 5) counseling and case management; and
- 6) intensive probation.

19. Pregnancy and Parenting Services for Young Parents

Pregnancy and parenting services are those services or activities for married or unmarried adolescent parents and their families designed to assist young parents in coping with the social, emotional, and economic problems related to pregnancy and in planning for the future. Component services or activities may include securing necessary health care and living arrangements; obtaining legal services; and providing counseling, child care education, and training in and development of parenting skills.

Overall National Program Goals: 1, 2, 3, 4, 5

State Definition: Preventive services designed to assist parents/expectant parents in identifying their capability and desire to parent their child(ren) and/or expected child(ren).

Components include but are not limited to:

- 1) counseling in regard to parenting responsibilities and, as appropriate, alternatives for care of their child(ren);
- 2) aid in securing services which may be necessary for the development and provision of a service plan such as appropriate living arrangements, parenting skills, financial assistance, medical care, legal services, preparation for childbirth and child rearing, physical examinations, and/or psychological evaluations;
- 3) outreach activities to inform the community of the availability of this program for families;
- 4) maternity home care for expectant mothers (Reference - Residential Treatment); including physical examinations and/or psychological evaluations required for entry into such facility; and
- 5) assistance with transportation in securing other needed services.

Overall National Program Goals: 2, 3

State Definition: Intensive home visiting program offered to first time parents to promote family health and prevent child abuse.

Components include but are not limited to:

- 1) screening for risk factors for abuse;
- 2) home visits from birth through child's 5th birthday;
- 3) child development training for parents;
- 4) parenting education;
- 5) well child exams and immunizations; and
- 6) developmental screenings.

20. Prevention and Intervention Services

Prevention and intervention services are those services or activities designed to provide early identification and/or timely intervention to support families and prevent or ameliorate the consequences of, abuse, neglect, or family violence, or to assist in making arrangement for alternate placements or living arrangements where necessary. Such services may also be provided to prevent the removal of a child or adult from the home. Component services and activities may include investigation; assessment and/or evaluation of the extent of the problem; counseling, including mental health counseling or therapy as needed; developmental and parenting skills training; respite care; and other services including supervision, case management, and transportation.

Overall National program Goals: 3, 4

State Definition: Short term, highly intensive, home-based services designed to protect, treat and support families with at least one child at imminent risk of placement in state custody. These services may also be used to reunify a family when a child has been in an out-of-home placement and this level of intervention is needed to enable the child to return home and successfully remain there. IFPS must respond to the family within 24 hours of referral, and services must begin in 48 hours.

Components include but are not limited to:

- 1) provides a wide range of flexible and responsive services tailored to the individual client and family;
- 2) formulates a strengths-based, behaviorally specific needs assessment;
- 3) develops a service plan that has time-limited, measurable goals developed in partnership with the family;
- 4) utilizes a cognitive/behavioral approach to help the family acquire a variety of new skills so that clients can more effectively manage their lives;
- 5) provides for the concrete needs of families;
- 6) services are delivered at times and places most convenient for the family, primarily the family home and community;
- 7) support is available to the family 24 hours a day, 7 days a week;
- 8) transportation is provided as needed; and
- 9) services are responsive to cultural, racial, intellectual, economic, social, spiritual, and gender differences among clients.

Overall National Program Goals: 3, 4

State Definition: Respite care for placement of the at-risk child(ren), outside the home, to allow a cooling off period between family members in a crisis situation in order to avoid harm to a child/youth or family member. The legal custodian must agree in writing to the temporary respite placement.

Components include but are not limited to:

- 1) limited to 72 hours;
- 2) provide immediate intervention to families in crisis;
- 3) must possess a residential child caring or child placing license;
- 4) transportation services, if required.

Overall National Program Goals: 2, 3, 4

State Definition: An intensive service aimed at diverting youth who would normally be committed to state custody due to delinquency or violation of court orders and at enabling youth to be released from custody early because community-based intervention and treatment is available.

Components include but are not limited to:

- 1) skills based training;
- 2) substance abuse counseling/intervention;
- 3) community service work;
- 4) victim restitution;
- 5) parent education/counseling;
- 6) job training/tutoring; and
- 7) intensive supervision.

Overall goals: 2, 3

Definition: Child Abuse Prevention Services are those services designed to prevent the initial occurrence of child abuse or neglect. These services fall into two categories: Primary and Secondary Prevention. Primary prevention consists of activities designed to inform the general public or specific target populations on the issues of child abuse and neglect and to heighten awareness of prevention techniques and skills. Secondary prevention services are services directed toward specific high-risk families who are considered vulnerable or at risk of developing problems that can lead to abuse or neglect.

Components of Service include but are not limited to:

- 1) parenting education;
- 2) parent support groups;
- 3) in-home visitation;
- 4) skills training for children and youth; and
- 5) public awareness.

Overall Program Goals: 1, 2, 3, 4

Definition: Family Support Services provide quality, accountable, focused services to keep children and communities safe while empowering families to stay together.

Components of Service may include but are limited to:

- 1) engaging the family in a positive helping relationship and empowering the family to solve problems that places the child at risk of harm and/or state custody;
- 2) purchasing necessary defined non-medical services from community providers;
- 3) using Flexible Funding to meet families' basic needs by purchasing tangible goods or services on an emergency or short-term basis; and
- 4) case management.

21. Protective Services for Adults

Protective services for adults are those services or activities designed to prevent or remedy abuse, neglect or exploitation of adults who are unable to protect their own interests. Examples of situations that may require protective services are injury due to maltreatment or family violence; lack of adequate food, clothing or shelter; lack of essential medical treatment or rehabilitation services; and lack of necessary financial or other resources. Component services or activities may include investigation; immediate intervention; emergency medical services; emergency shelter; developing case plans; initiation of legal action (if needed); counseling for the individual and the family; assessment/evaluation of family circumstances; arranging alternative or improved living arrangements; preparing for foster placement, if needed; and case management and referral to service providers.

Overall National Program Goal 3

State Definition: Protective services for adults 18 years of age or older, who are unable to protect their own interests due to mental or physical dysfunction or advanced age, have no available, willing, and responsibly able person to assist them, and who are abused, neglected, exploited or threatened with abuse, neglect, or exploitation.

Components include:

- 1) receiving reports;
- 2) conducting investigations;

- 3) identifying and assessing the individual's situation and service needs through the use of physical, psychological, psychiatric or social evaluations and consultations;
- 4) counseling with the individual or his/her appropriate representative;
- 5) assisting in locating or maintaining adequate shelter, food and clothing;
- 6) assisting in obtaining required medical care or mental health services;
- 7) assisting in arranging for conservatorship, commitment, or protective placements as needed;
- 8) obtaining emergency shelter care which is a home or facility available to receive adults on a 24-hour basis when emergencies arise requiring removal from the home or normal residence;
- 9) providing advocacy including legal services;
- 10) assistance with transportation necessary in the provision of these service components; and
- 11) respite care to provide short-term relief for caregivers.

22. Protective Services for Children

Protective services for children are those services or activities designed to prevent or remedy abuse, neglect, or exploitation of children who may be harmed through physical or mental injury, sexual abuse or exploitation, and negligent treatment or maltreatment, including failure to be provided with adequate food, clothing, shelter, or medical care. Component services or activities may include immediate investigation and intervention; emergency medical services; emergency shelter; developing case plans; initiation of legal action (if needed); counseling for the child and the family; assessment/evaluation of family circumstances; arranging alternative living arrangement; preparing for foster placement, if needed; and case management and referral to service providers.

Overall National Program Goals: 2, 3, 4, 5

State Definition: Services to children under six years of age at risk of child abuse and neglect or risk of or with manifested developmental delays, or with a verified handicap. For children under six years of age, this service is designed to foster physical, social, emotional, and intellectual development through the provision of comprehensive and preventive social, health, and educational services. An agency must provide or ensure the availability of the following components as needed by the child.

Components include but are not limited to:

- 1) Screening tests and physical examinations – These services can be accessed through TennCare or other medical resources; medical services may not be billed to the SSBG grant;
- 2) nutritional assessment and counseling;
- 3) counseling;
- 4) educational activities with the parent, caretaker or child;
- 5) case management;
- 6) transportation as necessary to implement the other components when the family or other resources cannot meet the need; and
- 7) services to expectant mothers at risk, under the age of 18, are also included in the target population. Services to expectant mothers must focus on those activities intended to reduce the likelihood that the child will be born with a developmental delay. Expectant mothers will be eligible to receive components (3), (4), (5), (6), and (7) only.

Overall National Program Goal: 3

State Definition: Protective services for children under age 18 who are abused, neglected, or exploited or who are in imminent danger of being abused, neglected, or exploited and require services in order to prevent this from occurring.

Components include but are not limited to:

- 1) receipt of reports (intake);
- 2) investigating, identifying, assessing, diagnosing the situation and service needs through the use of physical, mechanical (video-audio taping), psychological, psychiatric or social evaluations and consultations;
- 3) providing counseling and non-medical treatment; referral and case management services designed to address the significant emotional, interpersonal, health, housing or economic problems of the child/children, causing or contributing substantially to the abuse, neglect, or exploitation, including training courses for parents or legal guardians; and preparation for and participation in court proceedings;
- 4) assessing the on-going risk of harm to the child, the family's progress in reducing or ameliorating the risk of harm to the child(ren) as services are provided, and the family's compliance with the plan of action designed to protect the child;
- 5) day care or emergency shelter (home or facility to receive children or families on a 24-hour basis when emergencies arise requiring removal from own home or normal residence. Food, shelter, and substitute parenting are basic components; also, personal care and clothing items may be included);

- 6) legal representation or advocacy for the provision of appropriate services, including transportation as required; and
- 7) court-ordered custody investigations.

23. Recreational Services

Recreational services are those services or activities designed to provide, or assist individuals to take advantage of, individual or group activities directed towards promoting physical, cultural, and/or social development.

Overall National Program Goal: 1, 2, 3, 4

State Definition: Recreational activities may be purchased when such activities contribute to the alleviation of a specific dysfunction in the family or when the addition of such services would decrease the likelihood of a child's involvement in delinquent activities. Such activities may include memberships in the YMCA, summer camp, or summer recreational program.

24. Residential Treatment Services

Residential treatment services provide short-term residential care and comprehensive treatment and services for children or adults whose problems are so severe or are such that they cannot be cared for at home or in foster care and need the specialized services provided by specialized facilities. Component services and activities may include diagnosis and psychological evaluation; alcohol and drug detoxification services; individual, family, and group therapy and counseling; remedial education and GED preparation; vocational or pre-vocational training; training in activities of daily living; supervised recreational and social activities; case management; transportation; and referral to and utilization of other services.

Overall National Program Goals: 1, 2, 3, 4

State Definition: Planned 24-hour care outside the home in a program with qualified staff providing diagnosis, evaluation, treatment, and follow-up on behavioral, emotional, or mental problems.

Components include but are not limited to:

- 1) drug therapy provided as integral but subordinate to the regimen of residential services;
- 2) non-medical treatment;
- 3) instruction;

- 4) educational services;
- 5) room and board;
- 6) planned follow-up;
- 7) physical or psychological examinations necessary for entry into the program or for the development of the service plan that indicates residential treatment is required, the needed service will be provided in a short term time frame, and is not available to out-patients; and
- 8) expectant mother maternity home care providing a protective, supportive environment in preparation for childbirth, post-delivery, and living in the community. Elements of this service include: (a) counseling; (b) educational services; (c) room and board; (d) prenatal, labor, delivery and post-partum care; and (e) transportation as necessary.

25. Special Services for Persons with Developmental or Physical Disabilities, or Persons with Visual or Auditory Impairments

Special services for persons with developmental or physical disabilities, or persons with visual or auditory impairments, are services or activities to maximize the potential of persons with disabilities, help alleviate the effects of physical, mental or emotional disabilities, and to enable these persons to live in the least restrictive environment possible. Component services or activities may include personal and family counseling; respite care; family support; recreation; transportation; aid to assist with independent functioning in the community; and training in mobility, communication skills, the use of special aids and appliances, and self-sufficiency skills. Residential and medical services may be included only as an integral, but subordinate, part of the services.

26. Special Services for Youth Involved in or at Risk of Involvement with Criminal Activity

Special services for youth involved in or at risk of involvement with criminal activity are those services or activities for youth who are, or who may become, involved with the juvenile justice system and their families. Components services or activities are designed to enhance family functioning and/or modify the youth's behavior with the goal of developing socially appropriate behavior and may include counseling, intervention therapy, and residential and medical services if included as an integral but subordinate part of the service.

Overall National Program Goals: 3, 4

State Definition: Services aimed at youth that are displaying unruly or delinquent behaviors or are youth who are “latch key” children and unsupervised. Services must be available during the peak hours that youth usually get into trouble or are home alone (afternoons after school, early evenings, weekends, and summer months).

Components may include, but are not limited to:

- 1) Mentoring services to improve self-esteem and provide positive role models;
- 2) Tutoring;
- 3) Community services work;
- 4) Athletic programs;
- 5) Arts and crafts;
- 6) Educational expenses such as supplies or workbooks if the school system is not required to purchase.
- 7) Group work with teens aimed at teaching life skills such as improving problem solving and negotiation skills, anger management, or values clarification;
- 8) Services to the families should include age specific parenting education in parenting classes and/or one on one as appropriate;
- 9) Advocacy services to help families and children with school difficulties in accessing the appropriate educational placement or staying in the local school system;
- 10) Transportation as necessary in order to access services; and
- 11) Electronic Monitoring.

Overall National Program Goals: 2, 3, 4

State Definition: Services provided through local Juvenile Courts to prevent youth from being placed in state custody, to prevent school truancy, and to provide probation/case support services.

Components include but are not limited to:

- 1) **Custody Prevention Services.** Custody prevention services cover a broad range of programs, from day treatment to parenting classes. Service objectives are to reduce the number of children committed to state custody; improve the youth's behavior and therefore reduce the youth's reappearance in juvenile court; improve family involvement with the youth; improve school attendance and academic performance.
- 2) **Truancy Prevention Services.** Truancy prevention services focus on decreasing truancy and improving academic performance. They monitor school attendance, offer GED classes, teach vocational and independent living skills, and offer counseling. Service objectives are to reduce to zero the number of children in state custody for truancy; improve school attendance and academic performance; increase parental involvement; and reduce the number of school dropouts.

- 3) **Child and Family Intervention Services.** Child and family intervention services are provided to children/youth at imminent risk of state custody. Service components include pre-sentence investigations; crisis intervention; casework; transportation; liaison on educational issues; and work with court orders.

27. Substance Abuse Services

Substance abuse services are those services or activities that are primarily designed to deter, reduce, or eliminate substance abuse or chemical dependence. Except for initial detoxification services, medical and residential services may be included but only as an integral but subordinate part of the service. Component substance abuse services or activities may include a comprehensive range of personal and family counseling methods, methadone treatment for opiate abusers, or detoxification treatment for alcohol abusers. Services may be provided in alternative living arrangements such as institutional settings and community-based halfway houses.

Overall National Program Goals: 3, 4

State Definition: Services that provide intervention, support, and referral for family members and/or youth who are impacted by alcohol and drug issues. Services deemed medically necessary, including direct alcohol and drug treatment, cannot be purchased or funded under this program.

Components include but are not limited to:

- 1) Counseling for problems and issues regarding alcohol and drug dependency;
- 2) Referral to medical, alcohol and drug treatment programs in the community;
- 3) Advocacy services for TennCare eligible children and families which include but are not limited to helping the family enroll in TennCare, helping the family to access needed services, and helping with the appeal process if necessary; and
- 4) Drug/Alcohol Assessments.

28. Transportation Services

Transportation services are those services or activities that provide or arrange for the travel, including travel costs, of individuals in order to access services, or obtain medical care or employment. Component services or activities may include special travel arrangements such as special modes of transportation and personnel to accompany or assist individuals or families to utilize transportation.

Overall National Program Goals: 1, 2, 3,

State definition: Limited transportation services may be provided for adults or children to meet necessary appointments for health and safety reasons. Auto repairs should be limited to basic repairs to maintain necessary transportation for safety and health reasons.

29. Other Services

Other Services are services that do not fall within the definitions of the preceding 28 services. The definition used by the State for each of these services should appear elsewhere in the annual report.

Overall Program Goals: 1, 2, 3, 4, and/or 5

Definition: DHS may use any area of the Flexible Funding component to provide a variety of services not otherwise identified in the other 28 components to provide services to children or adults who fall within the income guidelines of the program.

Each region of DCS may use Family Support Services to purchase goods and services that cannot be acquired through any other means. These services are generally provided on a one-time basis but may, on some occasions, be provided to the same family more than once. Any case manager for DCS or CSA may access flexible funds to serve non-custodial children and their families. While it will be typical for a DCS or CSA case manager to be in place when these funds are used, it is possible to access the funds on an emergency basis for non-custodial families who have no active case manager, but need an emergency service to prevent placement in state custody.

Eligible Services may include but are not limited to:

- 1) **Rent/Utilities Payment:** Rent and utility payments can be made where failure to pay these expenses may result in either the removal of the child or adult from the home, or the failure of a child or adult to be able to return home from placement. The program cannot make payments that result in the family acquiring “equity”. The Department of Human Services may use flexible funding to pay a heating bill for low-income households whereby failure to pay such costs would endanger the individual’s health and/or well-being if assistance were not provided. Funds may be used, in limited circumstances, to reconnect utilities if the lack of utilities presents an immediate health and safety concern for vulnerable adults or children in the household.
- 2) **Food/Clothing:** Food and clothing purchases should be only when necessary to prevent the removal of the child from the home, keep the family unit intact, or provide an incentive for a child in cases where lack of appropriate clothing may be contributing to truancy or low self-esteem. Food and clothing purchases for low income adults should

be made only when it is necessary to temporarily meet these needs until longer term solutions are implemented.

- 3) **Emergency Services:** One time assistance payments to low-income households to address the immediate need for basic emergency services following a disaster.
- 4) **Other Services:** funds may also be used for unique situations, as determined by the Department of Human Services and the Department of Children's Services, to meet the emergency needs of adults or children where a lack of assistance would endanger their health and well-being.

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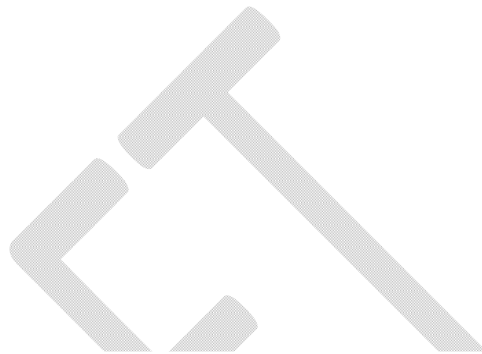
Appendix D

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Pre-Expenditure Report

Part A. Estimated Expenditures and Proposed Provision Method				OMB NO.: 0970-0234		Part B. Estimated Recipients				OMB NO.: 0970-0234			
				EXPIRATION DATE: 06/30/2014						EXPIRATION DATE: 06/30/2014			
Tennessee		FISCAL YEAR: 2013		REPORT PERIOD: 07/01/2012-06/30/2013		Tennessee							
Contact Person: Shalonda Cawthon		Phone Number: 615-313-				FISCAL YEAR: 2013							
Title: Deputy Commissioner		E-Mail Address: Shalonda.Cawthon@tn.gov											
Agency: Tennessee Department of Human Services		Submission Date: 09/01/2012											
Service Supported with SSBG Expenditures	SSBG Expenditures		Expenditures of All Other Federal, State and Local funds**	Total Expenditures	Provision Method		Service Supported with SSBG Expenditures	Children	Adults			Total Adults	Total
	SSBG Allocation	Funds transferred into SSBG*			Public	Private			Adults Age 59 Years & Younger	Adults Age 60 Years & Older	Adults of Unknown Age		
1 Adoption Services							1 Adoption Services						
2 Case Management	12,862,000		197,172,100	210,034,100			2 Case Management	24,000				0	24,000
3 Congregate Meals							3 Congregate Meals						
4 Counseling Services							4 Counseling Services						
5 Day Care-Adults	645,102		161,275	806,377			5 Day Care-Adults			66	330.5		397
6 Day Care-Children	1,322,000		5,034,900	6,356,900			6 Day Care-Children	1,000				0	1,000
7 Education and Training Services							7 Education and Training Services						
8 Employment Services							8 Employment Services						
9 Family Planning Services							9 Family Planning Services						
10 Foster Care Services-Adults							10 Foster Care Services-Adults			1	4		5
11 Foster Care Services-Children							11 Foster Care Services-Children						
12 Health-Related Services							12 Health-Related Services						
13 Home-Based Services	3,163,596		790,899	3,954,495			13 Home-Based Services			310	2706.5		3016.5
14 Home-Delivered Meals							14 Home-Delivered Meals						
15 Housing Services							15 Housing Services						
16 Independent/Transitional Living Services							16 Independent/Transitional Living Services						
17 Information & Referral							17 Information & Referral						
18 Legal Services							18 Legal Services						
19 Pregnancy & Parenting							19 Pregnancy & Parenting						
20 Prevention & Intervention	5,126,500		18,194,000	23,320,500			20 Prevention & Intervention	9,500				0	9,500
21 Protective Services-Adults	3,265,767		4,122,265	7,388,032			21 Protective Services-Adults			3437	8399		11836
22 Protective Services-Children							22 Protective Services-Children						
23 Recreational Services							23 Recreational Services						
24 Residential Treatment							24 Residential Treatment						
25 Special Services-Disabled							25 Special Services-Disabled						
26 Special Services-Youth at Risk							26 Special Services-Youth at Risk						
27 Substance Abuse Services							27 Substance Abuse Services						
28 Transportation							28 Transportation						
29 Other Services***							29 Other Services***						
30 SUM OF EXPENDITURES FOR SERVICES	26,384,965	0	225,475,439	251,860,404			30 SUM OF RECIPIENTS OF SERVICES	34,500	3813.5	11438		-	49,754
31 Administrative Costs	1,900,000												
32 SUM OF EXPENDITURES FOR SERVICES AND ADMINISTRATIVE COSTS	28,284,965	0											
* From which block grant(s) were these funds transferred?													
** Please list the sources of these funds:													
*** Please list other services:													

Appendix E



U.S. Department of Health & Human Services

Administration for Children & Families

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Signature

Title

Organization



U.S. Department of Health & Human Services

Administration for Children & Families

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing

the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.

4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, [[Page 33043]] should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled ``Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification Regarding Debarment, Suspension, Ineligibility an Voluntary Exclusion--Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

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U.S. Department of Health and Human Services

Administration for Children & Families



CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645(a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. For grantees other than individuals, Alternate I applies.
4. For grantees who are individuals, Alternate II applies.
5. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
8. Definitions of terms in the Non-procurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about --

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the

convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted --

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

(B) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

State of Tennessee
Department of Human Services
Citizens Plaza Building, 14th Floor
400 Deaderick Street
Nashville, TN 37243

Check if there are workplaces on file that are not identified here.

Alternate II. (Grantees Who Are Individuals)

(a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant. [55 FR 21690, 21702, May 25, 1990]

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